

17224 U.S. PTO
021704

Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

22387 U.S. PTO
10/780313
021704

In re Application of: OPPERMAN et al.

Serial No.: Not yet assigned

Filing Date: Filed herewith

For: METHODS AND APPARATUS FOR
FACILITATING FINANCIAL
INSTRUMENT TRADING ORDERS

)
)
) Examiner: Not yet assigned

)
) Group Art Unit: Not yet assigned

)
) Docket No.: G08.072/U

MS PATENT APPLICATION

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

**UTILITY PATENT APPLICATION TRANSMITTAL
(Large Entity)**

Sir:

Transmitted herewith for filing under 35 USC 111(a) and 37 CFR 1.53(b) is a new utility patent application for an invention entitled: **METHODS AND APPARATUS FOR FACILITATING FINANCIAL INSTRUMENT TRADING ORDERS**

and invented by: **OPPERMAN et al.**

Enclosed are:

1. ☒ Filing Fee as calculated and transmitted as described below
2. ☒ Specification having 33 pages and including the following:
 - a. ☒ Descriptive Title of the Invention
 - b. ☒ Cross references to Related Applications (*if applicable*)

- c. ☐ Statement Regarding Federally-sponsored Research/Development
- d. ☐ Reference to Microfiche Appendix (*if applicable*)
- e. ☒ Background of the Invention
- f. ☒ Brief Summary of the Invention
- g. ☒ Brief Description of the Drawings (*if drawings filed*)
- h. ☒ Detailed Description
- i. ☒ Claim(s) as Classified Below
- j. ☒ Abstract of the Disclosure
- 3. ☒ Drawing(s) (*when necessary as prescribed by 35 USC 113*)
 - a. ☒ Formal Number of Sheets 12
 - b. ☐ Informal Number of Sheets
- 4. ☒ Oath or Declaration
 - a. ☒ Newly executed (*original or copy*) ☐ Unexecuted
 - b. ☐ Copy from a prior application (37 CFR 1.63(d))
 - c. ☒ With Power of Attorney ☐ Without Power of Attorney
 - d. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the Prior Application, see 37. CFR 1.63(d)(2) and 1.33(b).
- 5. ☐ Incorporation By Reference (*usable if Box 4b is checked*)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
- 6. ☒ Assignment Papers (*cover sheet & documents(s)*)
- 7. ☐ 37 CFR 3.73(B) Statement (*when there is an assignee*)
- 8. ☐ English Translation Document (*if applicable*)
- 9. ☐ Information Disclosure Statement/PTO-1449 ☐ Copies of IDS Citations
- 10. ☐ Preliminary Amendment
- 11. ☒ Acknowledgement Postcard
- 12. ☒ Mailed Via
 - ☐ First Class ☒ Express Mail (*Specify Label No.*) **EL963890740US**
- 13. ☐ Certified Copy of Priority Document(s) (*if foreign priority is claimed*)
- 14. ☐ Request and Certification under 35 USC 122(b)(2)(B)(i) (*attach PTO/SB/35*)
- 15. ☒ Additional Enclosures: Credit Card Payment Forms

FEE CALCULATION

For	No. Filed	No. Allowed	No. Extra	Rate	Fee
Total Claims	37	- 20	17	\$18.00	\$306.00
Indep. Claims	12	- 3	9	\$86.00	\$774.00
Multiple Dependent Claims (If applicable, please add \$ 290.00)					\$0.00
BASIC FEE					\$770.00
OTHER FEE (specify purpose):					\$ 0.00
TOTAL FILING FEE					\$1,850.00

A Credit Card Payment Form in the amount of \$1,850.00 is enclosed.

The Commissioner is hereby authorized to charge and credit Deposit Account No. 50-1852 as described below. A duplicate copy of this sheet is enclosed.

- ☒ Credit any overpayment.
- ☒ Charge any additional fees required under 37 CFR 1.16 and 1.17.

Respectfully submitted,



Nathaniel Levin
 Registration No. 34,860
 Buckley, Maschoff & Talwalkar LLC
 Five Elm Street
 New Canaan, CT 06840
 (203) 972-3460

February 17, 2004
 Date